



ATTORNEYS DOCKET  
069547.0174

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PATENT APPLICATION  
10/767,699

IFW

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Thomas J. Daley, et al.  
Serial No.: 10/767,699  
Filing Date: January 29, 2004  
Examiner: Unknown  
Art Unit: 3624  
Title: *SYSTEM AND METHOD FOR CONTROLLING  
THE DISCLOSURE OF A TRADING ORDER*

**Mail Stop Amendment**  
Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

**CERTIFICATE OF MAILING BY EXPRESS MAIL**

I hereby certify that the attached Information Disclosure Statement (2 pages), Form PTO-1449 (1 page), with 5 attached references, Baker Botts return postcard (1 postcard), and this Certificate of Mailing (1 page) are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on this 3rd day of March 2006 and is addressed to the Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450.

  
Levado Hamilton

Express Mail Receipt  
No. **EV 733636522 US**



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Commissioner of Patents  
PO Box 1450  
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Dear Sir:

**INFORMATION DISCLOSURE STATEMENT**

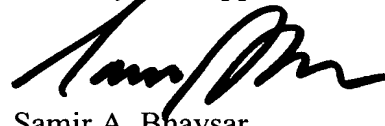
Applicants respectfully request, pursuant to 37 C.F.R. §§ 1.56, 1.97 and 1.98, that the references listed on the attached PTO-1449 form be considered and cited in the examination of the above-identified patent application. The present application was filed after June 30, 2003. Therefore, under the July 11, 2003 waiver of 37 C.F.R. § 1.98(a)(2)(i) by the U.S. Patent and Trademark Office, copies of the US Patents and U.S. Patent Application Publications listed in the attached PTO-1449 form are not enclosed. Copies of all other references are enclosed for the convenience of the Examiner. No representation is made that a search has been made, that these references are material to patentability, or that these references qualify as prior art. The items contained in this Information Disclosure Statement were cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. §1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement.

**REMARKS**

Pursuant to 37 C.F.R. § 1.97(b), Applicants believe this Information Disclosure Statement has been filed before the **issuance/mailling** date of the first Office Action. Therefore, Applicants believe no fee is due. However, if a fee is required, the Commissioner is hereby authorized to charge any fees or credit any overpayments to Deposit Account No. 02-0384 of Baker Botts L.L.P.

Respectfully submitted,

Baker Botts L.L.P.  
Attorneys for Applicants



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Date: March 3, 2006

Correspondence Address:

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PTO-1449

MAR 03 2006

**Information Disclosure Citation  
in an Application**

Application No.  
10/767,699

Docket Number  
069547.0174

Applicant(s)  
Thomas J. Daley, et al.

Group Art Unit  
3624

Filing Date  
January 29, 2004

**U.S. PATENT DOCUMENTS**

		DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
	A	4,412,287	10/25/1983	Braddock, III	364	408	09/15/1982
	B	5,077,665	12/31/1991	Silverman, et al.	364	408	05/25/1989
	C	6,278,982 B1	08/21/2001	Korhammer, et al.	705	37	04/21/1999
	D	H 2064 H	05/06/2003	Buchalter	705	37	11/28/2000
	E	2002/0023037 A1	02/21/2002	White, Jr.	705	37	11/05/2001
	F	2005/0171890 A1	08/04/2005	Daley, et al.	705	37	01/29/2004
	K						
	L						
	M						
	N						
	O						
	P						
	Q						
	R						
	S						

**FOREIGN PATENT DOCUMENTS**

		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	T	WO 00/11587 A1	03/02/2000	PCT	G06F	17/60	X	
	U	WO 01/54037 A1	07/26/2001	PCT	G06F	17/60	X	
	V							
	W							
	X							

**NON-PATENT DOCUMENTS**

		DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
		Notification of Transmittal of The International Search Report, International Application No. PCT/US05/03159, 4 pages.	02/24/2006
		Written Opinion of the International Searching Authority, International Application No. PCT/US05/03159, 7 pages.	02/24/2006
		How to Match Trades and Quotes for NYSE Stocks? Olivier Vergote and K.U. Leuven, Abstract, 21 pages.	03/2005

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.